

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	CHM-013M1
First Inventor	Kenneth D. R. Setchell et al.
Title	Compositions and Products Containing S-Equol, and Methods for Their Making
Express Mail Label No.	EV 243854130 US

2212 U.S. PTO  
10/625934

07/24/03

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:** Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status – See 37 CFR 1.27
3. ☒ Specification [ Total Pages **49** ]  
(preferred arrangement set forth below)
- Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [ Total Sheets **6** ]
5. ☒ Oath or Declaration [ Total Pages **4** ]
- a. ☒ Newly executed (original copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 Completed)
- i. ☐ **DELETION OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet (see 37 CFR 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)  
☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS/PTO-SB08 or SB-1449)  
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP)    of prior application no. \_\_\_\_\_

Prior Application information:    Examiner:    Group Art Unit:

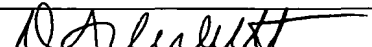
**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label

26868

(insert Customer Number or attach bar code label here)

Name (print/type)	Daniel F. Nesbitt	Registration No. (Attorney/Agent)	33,746
Signature		Date	July 24, 2003

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <p style="margin: 5px 0 0 40px;">(Patent Fees are subject to annual revision)</p>		<b>Complete if Known</b>	
		Application Number	
		Filing Date	July 24, 2003
		First Named Inventor	Kenneth D. R. Setchell et al.
		Examiner Name	
		Art Unit	
		Attorney Docket No.	CHM-013M1
<input type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27)			
TOTAL AMOUNT OF PAYMENT		\$1584.00	

<b>METHOD OF PAYMENT (check all that apply)</b> <input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> Deposit Account: Deposit Account Number <input type="text"/> Deposit Account Name <input type="text"/> The Commissioner is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above identified deposit account	<b>FEE CALCULATION (continued)</b> <b>3. ADDITIONAL FEES</b> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Codes</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: center;">Paid</th> </tr> </thead> <tbody> <tr><td></td><td></td><td>1051 2051</td><td>Surcharge - late filing fee or oath</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1052 2052</td><td>Surcharge - late provisional filing fee or cover sheet</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1053 1053</td><td>Non-English specification</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1812 1812</td><td>Filing a request for ex parte reexamination</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1804 1804</td><td>* Requesting publication of SIR prior to Examiner action</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1805 1805</td><td>Requesting publication of SIR after Examiner action</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1251 2251</td><td>Extension for reply within first month</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1252 2252</td><td>Extension for reply within second month</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1253 2253</td><td>Extension for reply within third month</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1254 2254</td><td>Extension for reply within fourth month</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1255 2255</td><td>Extension for reply within fifth month</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1401 2401</td><td>Notice of Appeal</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1402 2402</td><td>Filing a brief in support of an appeal</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1403 2403</td><td>Request for oral hearing</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1451 1451</td><td>Petition to institute a public use proceeding</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1452 2452</td><td>Petition to revive - unavoidable</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1453 2453</td><td>Petition to revive - unintentional</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1501 2501</td><td>Utility issue fee (or reissue)</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1502 2502</td><td>Design issue fee</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1503 2503</td><td>Plant issue fee</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1460 1460</td><td>Petitions to the Commissioner</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1807 1807</td><td>Processing fee under 37 CFR 1.17(q)</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1806 1806</td><td>Submission of Inform. Disc. Statement</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>8021 8021</td><td>Recording each patent assignment</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1809 2809</td><td>Filing a submission after final rejection (37 CFR 1.29(a))</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1810 2810</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1801 2801</td><td>Request for Continued Examination (RCE)</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td></td><td>1802 1802</td><td>Request for expedited examination of a design application</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td colspan="4"></td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr> <td colspan="4" style="text-align: right;"><b>Subtotal (3)</b></td> <td style="text-align: center;"><b>(\$ 0.00)</b></td> </tr> </tbody> </table>	Large Entity	Small Entity	Fee Codes	Fee Description	Paid			1051 2051	Surcharge - late filing fee or oath	<input type="checkbox"/>			1052 2052	Surcharge - late provisional filing fee or cover sheet	<input type="checkbox"/>			1053 1053	Non-English specification	<input type="checkbox"/>			1812 1812	Filing a request for ex parte reexamination	<input type="checkbox"/>			1804 1804	* Requesting publication of SIR prior to Examiner action	<input type="checkbox"/>			1805 1805	Requesting publication of SIR after Examiner action	<input type="checkbox"/>			1251 2251	Extension for reply within first month	<input type="checkbox"/>			1252 2252	Extension for reply within second month	<input type="checkbox"/>			1253 2253	Extension for reply within third month	<input type="checkbox"/>			1254 2254	Extension for reply within fourth month	<input type="checkbox"/>			1255 2255	Extension for reply within fifth month	<input type="checkbox"/>			1401 2401	Notice of Appeal	<input type="checkbox"/>			1402 2402	Filing a brief in support of an appeal	<input type="checkbox"/>			1403 2403	Request for oral hearing	<input type="checkbox"/>			1451 1451	Petition to institute a public use proceeding	<input type="checkbox"/>			1452 2452	Petition to revive - unavoidable	<input type="checkbox"/>			1453 2453	Petition to revive - unintentional	<input type="checkbox"/>			1501 2501	Utility issue fee (or reissue)	<input type="checkbox"/>			1502 2502	Design issue fee	<input type="checkbox"/>			1503 2503	Plant issue fee	<input type="checkbox"/>			1460 1460	Petitions to the Commissioner	<input type="checkbox"/>			1807 1807	Processing fee under 37 CFR 1.17(q)	<input type="checkbox"/>			1806 1806	Submission of Inform. Disc. Statement	<input type="checkbox"/>			8021 8021	Recording each patent assignment	<input type="checkbox"/>			1809 2809	Filing a submission after final rejection (37 CFR 1.29(a))	<input type="checkbox"/>			1810 2810	For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>			1801 2801	Request for Continued Examination (RCE)	<input type="checkbox"/>			1802 1802	Request for expedited examination of a design application	<input type="checkbox"/>	Other fee (specify) _____				<input type="checkbox"/>					<input type="checkbox"/>	<b>Subtotal (3)</b>				<b>(\$ 0.00)</b>
Large Entity	Small Entity	Fee Codes	Fee Description	Paid																																																																																																																																																													
		1051 2051	Surcharge - late filing fee or oath	<input type="checkbox"/>																																																																																																																																																													
		1052 2052	Surcharge - late provisional filing fee or cover sheet	<input type="checkbox"/>																																																																																																																																																													
		1053 1053	Non-English specification	<input type="checkbox"/>																																																																																																																																																													
		1812 1812	Filing a request for ex parte reexamination	<input type="checkbox"/>																																																																																																																																																													
		1804 1804	* Requesting publication of SIR prior to Examiner action	<input type="checkbox"/>																																																																																																																																																													
		1805 1805	Requesting publication of SIR after Examiner action	<input type="checkbox"/>																																																																																																																																																													
		1251 2251	Extension for reply within first month	<input type="checkbox"/>																																																																																																																																																													
		1252 2252	Extension for reply within second month	<input type="checkbox"/>																																																																																																																																																													
		1253 2253	Extension for reply within third month	<input type="checkbox"/>																																																																																																																																																													
		1254 2254	Extension for reply within fourth month	<input type="checkbox"/>																																																																																																																																																													
		1255 2255	Extension for reply within fifth month	<input type="checkbox"/>																																																																																																																																																													
		1401 2401	Notice of Appeal	<input type="checkbox"/>																																																																																																																																																													
		1402 2402	Filing a brief in support of an appeal	<input type="checkbox"/>																																																																																																																																																													
		1403 2403	Request for oral hearing	<input type="checkbox"/>																																																																																																																																																													
		1451 1451	Petition to institute a public use proceeding	<input type="checkbox"/>																																																																																																																																																													
		1452 2452	Petition to revive - unavoidable	<input type="checkbox"/>																																																																																																																																																													
		1453 2453	Petition to revive - unintentional	<input type="checkbox"/>																																																																																																																																																													
		1501 2501	Utility issue fee (or reissue)	<input type="checkbox"/>																																																																																																																																																													
		1502 2502	Design issue fee	<input type="checkbox"/>																																																																																																																																																													
		1503 2503	Plant issue fee	<input type="checkbox"/>																																																																																																																																																													
		1460 1460	Petitions to the Commissioner	<input type="checkbox"/>																																																																																																																																																													
		1807 1807	Processing fee under 37 CFR 1.17(q)	<input type="checkbox"/>																																																																																																																																																													
		1806 1806	Submission of Inform. Disc. Statement	<input type="checkbox"/>																																																																																																																																																													
		8021 8021	Recording each patent assignment	<input type="checkbox"/>																																																																																																																																																													
		1809 2809	Filing a submission after final rejection (37 CFR 1.29(a))	<input type="checkbox"/>																																																																																																																																																													
		1810 2810	For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>																																																																																																																																																													
		1801 2801	Request for Continued Examination (RCE)	<input type="checkbox"/>																																																																																																																																																													
		1802 1802	Request for expedited examination of a design application	<input type="checkbox"/>																																																																																																																																																													
Other fee (specify) _____				<input type="checkbox"/>																																																																																																																																																													
				<input type="checkbox"/>																																																																																																																																																													
<b>Subtotal (3)</b>				<b>(\$ 0.00)</b>																																																																																																																																																													

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (print/type)	Daniel F. Nesbitt	Registration No.	33,746
Telephone	513-229-0383	Date	July 24, 2003
Signature			